

Annex F ECDD Form

Enhanced Customer Due Diligence (“ECDD”)	
*Note: This form should <u>not</u> be shown to the customer.	
Where ECDD is conducted, to attach completed (1) CDD Form A, (2) CDD Form B and (3) ECDD Form, together with copies of all supporting documents.	
Name of regulated dealer:	Date:
Name of employee:	Signature of employee:

A. Income Level, Source of Wealth and Source of Funds	
1. Establish the following (by reasonable means e.g. internet scanning and careful enquiries with the customer):	Income level: Source of wealth: Source of funds: Source of information / Documents obtained: <i>*Important:</i> <i>To consider terminating the transaction if unable to establish source of income and lodge STR.</i>
	<ul style="list-style-type: none"> a. income level; b. source of wealth (i.e. source of overall assets); and c. source of funds (i.e. source of the funds used to pay for the transaction)
B. Prior Approval from an Employee of Senior Managerial/Executive Position	
1. Obtain prior approval from an employee holding a senior managerial or executive position before establishing/continuing dealings with a higher-risk customer.	<input type="checkbox"/> Approve <input type="checkbox"/> Not approve Reasons for approving / not approving: <i>*Important: To terminate the transaction if approval is not given.</i>
	Signature of employee of senior managerial/executive position:
	Name:
	Designation:
	Date:
C. Enhanced On-Going Monitoring (To be carried out at later date(s), determined by the regulated dealer)	
1. Conduct enhanced ongoing monitoring on the transactions performed by that higher-risk customer i.e. consider regularly checking against all sections of CDD and ECDD.	Date of recheck: Remarks: Signature: Name of employee: Designation: Date: